



IAPD Report

Theresa Maria Kost

CRD# 2145310

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Theresa Maria Kost (CRD# 2145310)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/17/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	01/12/2012
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	01/12/2012

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and 22 jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	UBS FINANCIAL SERVICES INC.	8174	NEWPORT BEACH, CA	11/15/2000 - 01/20/2012
B	UBS FINANCIAL SERVICES INC.	8174	NEWPORT BEACH, CA	10/22/1999 - 01/20/2012
B	U.S. BANCORP PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN	08/26/1996 - 11/19/1999

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **22** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 3 WORLD FINANCIAL CENTER
200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

	Regulator	Registration	Status	Date
	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
	Cboe Exchange, Inc.	General Securities Representative	Approved	01/12/2012
	FINRA	General Securities Representative	Approved	01/12/2012
	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
	MEMX LLC	General Securities Representative	Approved	11/01/2020
	MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
	NYSE American LLC	General Securities Representative	Approved	01/12/2012



Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/12/2012
B	NYSE Chicago, Inc.	General Securities Representative	Approved	11/18/2020
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq BX, Inc.	General Securities Representative	Approved	01/12/2012
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/12/2012
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/12/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	01/12/2012
B	New York Stock Exchange	General Securities Representative	Approved	01/12/2012
B	Arizona	Agent	Approved	01/12/2012
B	California	Agent	Approved	01/12/2012
IA	California	Investment Adviser Representative	Approved	01/12/2012
B	Colorado	Agent	Approved	02/03/2021
B	Connecticut	Agent	Approved	01/12/2012
B	Delaware	Agent	Approved	11/14/2018
B	Georgia	Agent	Approved	10/05/2022
B	Hawaii	Agent	Approved	08/20/2021
B	Illinois	Agent	Approved	02/14/2022
B	Maryland	Agent	Approved	01/12/2012



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	08/10/2020
B	Minnesota	Agent	Approved	01/12/2012
B	Nevada	Agent	Approved	09/09/2014
B	New Hampshire	Agent	Approved	04/07/2017
B	New York	Agent	Approved	02/07/2022
B	North Carolina	Agent	Approved	02/17/2023
B	Oregon	Agent	Approved	10/25/2019
B	Tennessee	Agent	Approved	10/09/2018
B	Texas	Agent	Approved	01/12/2012
IA	Texas	Investment Adviser Representative	Approved	01/12/2012
B	Virginia	Agent	Approved	01/12/2012
B	Washington	Agent	Approved	02/10/2014
B	Wisconsin	Agent	Approved	01/12/2012
B	Wyoming	Agent	Approved	01/12/2012

Branch Office Locations

RBC CAPITAL MARKETS, LLC
610 NEWPORT CENTER DRIVE
SUITE 900
NEWPORT BEACH, CA 92660-6448



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	04/07/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/30/1999
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/02/1994



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/15/2000 - 01/20/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEWPORT BEACH, CA
B	10/22/1999 - 01/20/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEWPORT BEACH, CA
B	08/26/1996 - 11/19/1999	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	03/31/1995 - 08/29/1996	INVESTMENT MANAGEMENT & RESEARCH, INC	CRD# 6694	ST. PETERSBURG, FL
B	12/02/1993 - 04/05/1995	FORUM FINANCIAL SERVICES, INC.	CRD# 17685	PORTLAND, ME
B	06/25/1993 - 10/27/1993	DAIN BOSWORTH INCORPORATED	CRD# 7600	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2018 - Present	City National Bank	Employee of an affiliate	Y	Newport Beach, CA, United States
01/2012 - Present	RBC CAPITAL MARKETS, LLC	FINANCIAL ADVISOR	Y	NEWPORT BEACH, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

NEPORT BEACH NEWCOMERS CLUB.
6/1/06 TREASURER, 5 HOURS PER MONTH.



End of Report

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